

# Corporate Risk Register

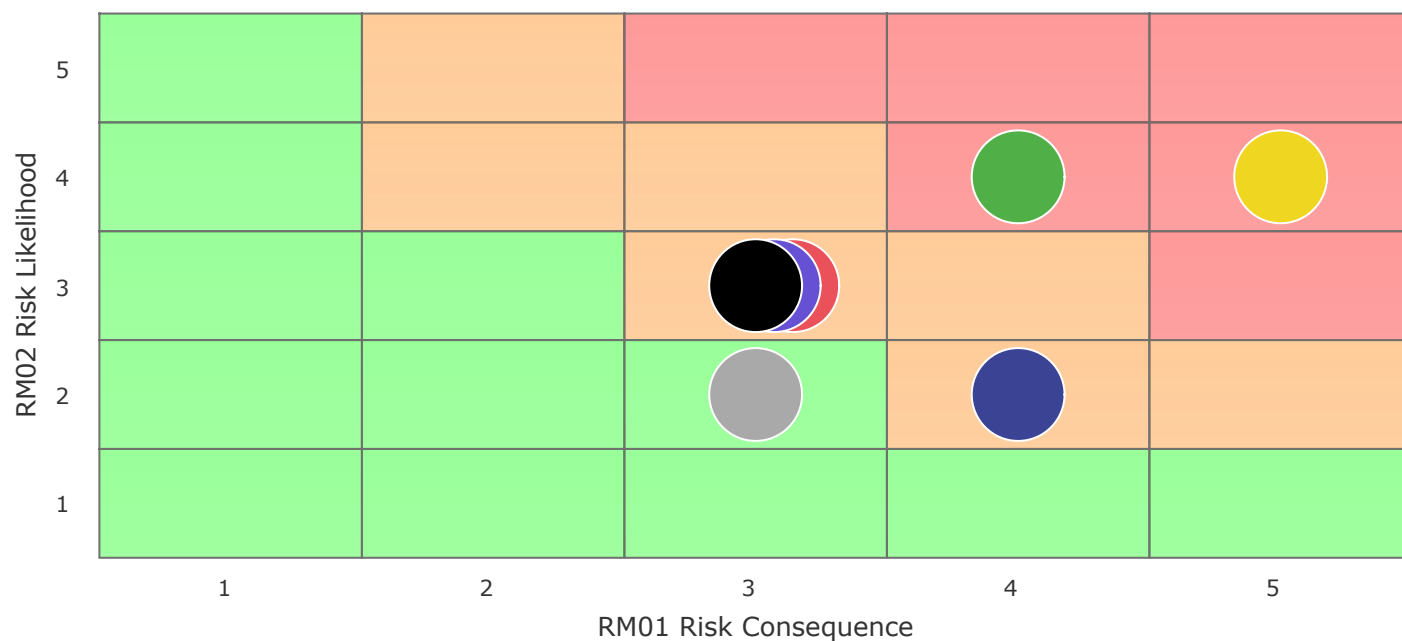
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# Corporate Risk Register

## Strategic Risk Matrix



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- SR 002 Operational
- SR 003 Macroeconomic
- SR 004 Strategic
- SR 005 Environment & Social
- SR 006 Governance
- SR 007 Reputation
- SR 008 Corporate project related risks

## **Corporate Risk Register (CRR) overview update for Governance, Risk & Audit Committee (GRAC) – June 2022**

The last update to the Risk Management Policy and Framework was approved by the Governance, Risk and Audit Committee (GRAC) in June 2020 and is next due an update starting in June 2022.

The policy sets the framework for the Council's Corporate Risk Register (CRR) which monitors and tracks the Council's most significant risks. Responsibility for coordinating the CRR and the risk management framework currently rests with the Section 151 Officer (Director for Resources).

The Council's approach to risk, its risk appetite and risk tolerance has a significant part to play in terms of supporting both the Corporate Plan and the Medium Term Financial Strategy (MTFS). Without a robust risk management framework, the Council is at risk of failing to deliver its corporate objectives and meeting its financial targets required to ensure we have a sustainable financial position in the future.

The levels of risk which the Council is willing to accept will have a direct bearing on the types of projects that Members are willing to take forward to support the Council's Financial Sustainability Strategy (under development) in the future and how and where the Council will deliver increased income.

### **Issues to note**

Since the committee last considered the register the various risks have been reviewed and updated by service managers, Management Team and the Corporate Leadership Team. The following should be noted;

**Financial (SR001)** – The 2022/23 budget and Medium Term Financial Strategy (MTFS) were approved by Full Council on 23 February 2022 including the final ratification and agreement of council tax levels.

The Bank of England base rate was increased from 0.75% to 1% on 5 May and the impact of these changes on the Council's investment returns will be assessed.

**Procurement (CR009)** – As with the previous updates construction procurement continues to bring challenges due to the combined impact of the ongoing COVID pandemic, Brexit and a number of global forest fires, all of which are impacting on material prices, with the industry currently experiencing significant price increases (in the region of 20%). The Council will need to continue to monitor this position and take this into account when putting together any budget estimates for repair and construction works over the coming months.

This is similarly affecting supply chains for areas of work such as Disabled Facilities Grants (DFGs), where there is pressure on the available numbers of

contractors to undertake works and also the supply, cost and availability of materials although in this instance the Council is trialling partnership working with Victory Housing to deliver the required works. Availability of contractors is also evident in terms of the Council's recent construction tenders and attracting suitable qualified and experienced contractors, within a reasonable budget envelope, remains challenging as the construction market is very strong at the current time.

**Operational (SR002)** – The Council continues to monitor progress against its Covid Recovery Plan, visitor numbers decreased significantly over the winter period and following the Council's very successful management of visitors during an incredibly busy summer season in 2021, still managed to have some of the lowest infection rates nationally. Infection rates are currently below average and vaccination rates well above average. As at 31 May 2022 the 7-day total of cases per 100,000 people was 52.3. Staffing levels are monitored regularly and sickness absence rates are low compared to national averages and are below our target for 2021/22.

**Strategic (SR004)** – Following the publication of the Government's Levelling Up White Paper in early February discussions have taken place between partners in Norfolk and DLUHC about the powers, functions and finances which might be made available to the County in any County Deal developed and agreed over the period to October 2022. A key issue for North Norfolk in any County Deal agreed will be to ensure that the needs of our rural district are appropriately considered and hopefully met.

During April the Government announced district based allocations under the UK Shared Prosperity Fund with North Norfolk receiving £150,000 in 2022/23; £300,000 in 2023/24 and £787,000 in 2024/25. The Council is required to produce an investment strategy stating how it will use these funds for submission to Government by the 1 August 2022 and a workshop is being arranged for Members to contribute to the strategy. The Council has also agreed to submit two applications under Round 2 of the Levelling Up Fund by 6 July 2022 and will identify the opportunities and risk associated with growth bids as part of the submission.

**Environmental & Social (SR005)** – The Council has a new Environmental Charter in place and approved the Net Zero Strategy and accompanying Climate Action Plan at Full Council on 23 February 2022. The strategy identifies how we will meet our aspiration of achieving net-zero carbon emissions by 2030. Progress delivering the goals of the strategy and the action plan will be reported to Cabinet every six months.



**Environmental & Social (SR005)** – The Council has a new Environmental Charter in place and approved the Net Zero Strategy and accompanying Climate Action Plan at Full Council on 23 February 2022. The strategy identifies how we will meet our aspiration of achieving net-zero carbon emissions by 2030. Progress delivering the goals of the strategy and the action plan will be reported to Cabinet every six months.

**Reputation (SR007)** – On 3 February 2022 the Chancellor announced the introduction of a new £150 'energy rebate' to help some households with the increasing cost of energy. This rebate will apply to all properties in council tax bands A to D (main residence only). As at 26 May 2022 NNDC had paid out 36,239 Council Tax Energy Rebate payments, representing 88.3% of eligible properties.

The Council received its annual audit results report letter for 2019/20 from external auditors Ernst & Young in February 2022. The report contained a number of recommendations to strengthen the Council's governance arrangements and these were addressed in full in a management response, discussed and agreed by GRAC at its meeting on 30 March 2022.

**Corporate Project Related risks (SR008)** – The new Reef leisure project has now officially undergone practical completion and the centre opened at the end of November 2021. The final contract payments are still however to be agreed and paid to the contractor so the project is still currently live at the present time. Once this process is complete as part of the new project management framework the scheme will undergo a final review to identify any lessons learnt to help inform future project delivery.

Phase 1 North Walsham town centre Place Making public realm improvement construction works commenced as planned in February 2022 at Church Approach (Shambles). Good progress is being made.

Cedars Grade II listed building contractors have been appointed and commenced work in February.

Building Improvement Grants scheme - 25 Expressions of interest received from property owners and lease holders. Three grant applications approved by Historic England. Work already commenced on site on two buildings carrying out repairs, reinstating architectural features and bringing vacant floor space back into use.

A number of arts and cultural activities are being planned and delivered by the Cultural Consortium over the next few months.

Additional uplift funding was secured from Historic England (HE) in March 2022. This additional funding and the year 2 budgeted HE funding was defrayed before year end. The New Anglia LEP agreed a capital transfer swap to secure remaining LEP funding to be spent in year 3 2022-23.

### **Risk Appetite and Risk tolerance**

Risk appetite is often described as 'the amount of risk that an organisation is willing to seek or accept in the pursuit of its long term objectives'. Risk

tolerance is the amount of risk an organisation could actually take, usually from a financial perspective, before services and objectives are significantly impacted. The two are linked, with most organisations having a risk appetite lower than their risk tolerance. At its meeting in June 2020 the GRAC set agreed to set the Council's risk appetite at 'moderate'.

The Council will be required to make some difficult decisions in the short to medium term to help ensure that we are able to balance the budget given the current funding restrictions and uncertain financial climate related to the delayed Fair Funding Review and business rate reform. This will undoubtedly involve looking to invest in new opportunities and to take a more commercial approach to our activities whilst also looking to drive social value.

The Corporate Risk Register has been updated as at 31 May 2022 and will be presented to the next meeting of GRAC scheduled for 14 June 2022.

## Risk scoring key

### Corporate Risks

Each corporate risk (a similar matrix is used for service risks) will be assessed against the following criteria:

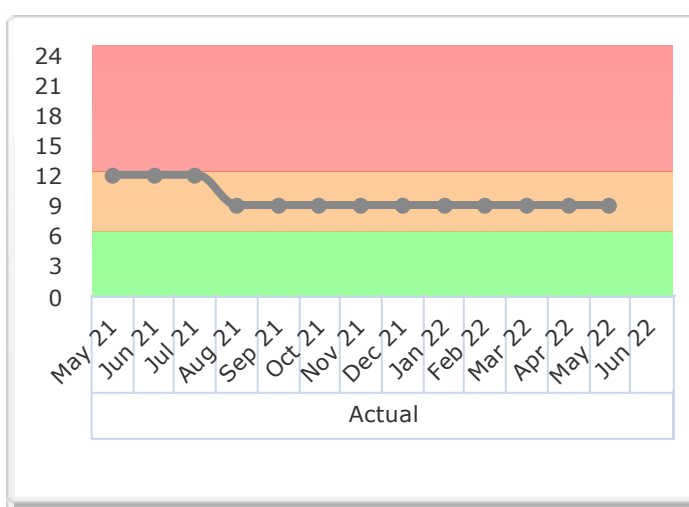
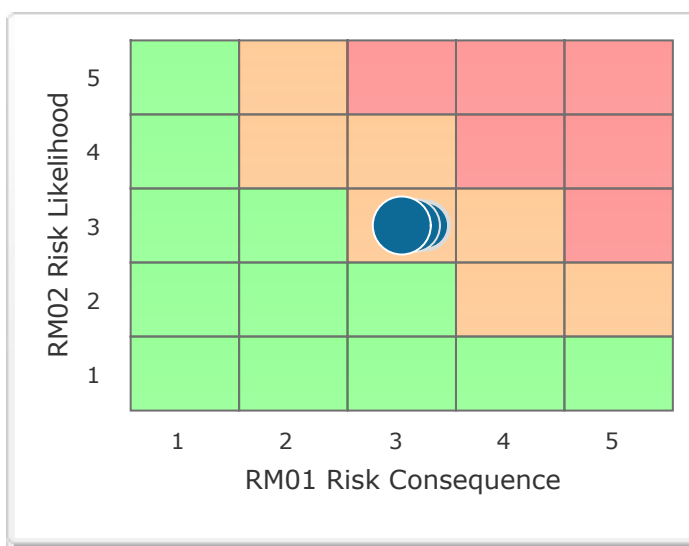
<b>Impact Type</b>	<b>Catastrophic 5</b>	<b>Critical 4</b>	<b>Moderate 3</b>	<b>Marginal 2</b>	<b>Negligible 1</b>
<b>Objectives</b>	The key objectives in the Corporate Plan will not be achieved.	One or more Key Objectives in the Corporate Plan will not be achieved.	Significant impact on the success of the Corporate Plan.	Some impact on more than one Service.	Insignificant impact on more than one Service.
<b>Financial Impact (Loss)</b>	Over £1.5m	£500K - £1.5m	£300K - £500K	£20K - £300K	£0-20K

Likelihood ratings and dimensions are tabled below:

<b>Grade</b>	<b>Likelihood</b>	<b>Probability</b>	<b>Timing</b>
5	Very High	Over 90%	Within six months
4	High	60 - 90%	Within a year
3	Moderate	40 - 60%	Within 1 to 2 years
2	Low	10 - 40%	Probably within 15 years
1	Very Low	below 10%	Probably over 15 years

## SR 001 Financial (including credit & counterparty)

Responsibility	Resources
Risk Description	<p><b>FINANCIAL:</b> related to the financial position and investment of the Council's assets and cash flow, market volatility, currency etc.</p> <p><b>Credit and Counterparty:</b> related to investments, loans to institutions and individuals and counterparties in business transactions.</p> <p>Risk - that the Council's expenditure in a financial year is likely to exceed the resources (including sums borrowed) available to it to meet that expenditure.</p> <p>Effect - the Chief Finance Officer has to issue a Section 114 report to Full Council to report an unbalanced budget.</p>
Risk Category	<ul style="list-style-type: none"> <li>■ A Financial</li> <li>■ C Credit and counterparty</li> </ul>
Risk Response	Treat



## Latest Update

31/05/2022		
SR 001 Financial (including credit & counterparty) : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	<p>The 2022/23 budget and Medium Term Financial Strategy (MTFS) were approved by Full Council on 23 February 2022 including the final ratification and agreement of council tax levels.</p> <p>The Bank of England base rate was increased from 0.75% to 1% on 5 May and the impact of these changes on the Council's investment returns will be assessed.</p>



		31/05/2022
SR 001 Financial (including credit & counterparty) : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
SR 001 Financial (including credit & counterparty) : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➡

## SR 001 Financial (including credit & counterparty)

### Associated Corporate Risks

31/05/2022		
CR 015 Medium Term Financial Plan : Status	Score	12.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	

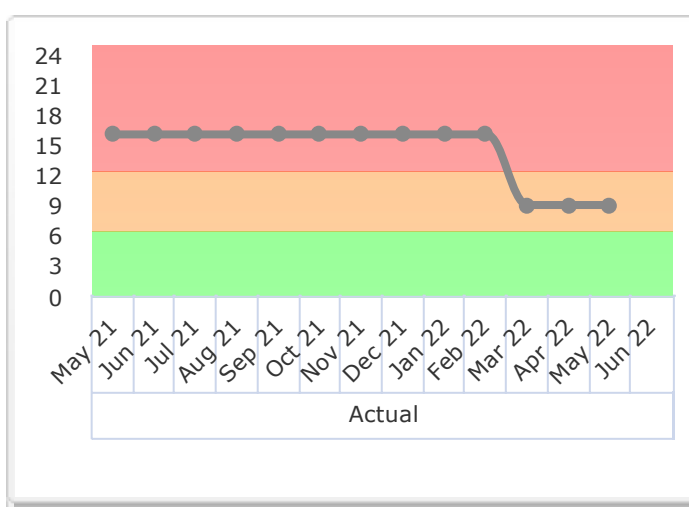
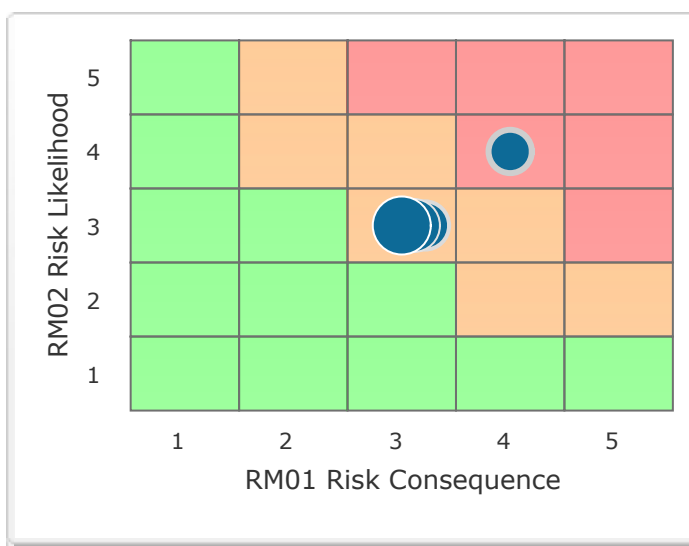
### Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Mar 22
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Duncan Ellis	✓
<input checked="" type="checkbox"/> Balanced budget agreed	Duncan Ellis	✓
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✓
<input checked="" type="checkbox"/> Business cases for commercialisation of assets to deliver future income and efficiencies	Duncan Ellis	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✓
<input checked="" type="checkbox"/> Growth forecasting models	Duncan Ellis	✓
<input checked="" type="checkbox"/> Lobbying Central Government	Steve Blatch	✓
<input checked="" type="checkbox"/> Medium Term Financial Strategy	Duncan Ellis	✓
<input checked="" type="checkbox"/> Policy Work	Steve Blatch	✓
<input checked="" type="checkbox"/> Project Management Plans	Duncan Ellis	✓
<input checked="" type="checkbox"/> Reporting - New legislation and consultation	Helen Thomas	✓
<input checked="" type="checkbox"/> Timely agreement of the annual Localised Council Tax Support Scheme	Duncan Ellis	✓
<input checked="" type="checkbox"/> Utilisation of the New Homes Bonus grant within the base budget for 2018/19 onwards	Duncan Ellis	✓

Outstanding				
	Stage	Responsible		Mar 22
<input checked="" type="checkbox"/> Monitoring impact of the business rates retention and the localised council tax support system	Blocked	Duncan Ellis	Performance	●
			Comments	

## SR 002 Operational

Responsibility	Resources
Risk Description	<p>OPERATIONAL: related to operational exposures within its organisation, its counterparties, partners and commercial interests.</p> <p>Risk - operational issues prevent or hinder the achievement of the Council's aims.</p> <p>Effect - the Council does not achieve it's operational or strategic aims.</p>
Risk Category	D Operational
Risk Response	Treat



## Latest Update


31/05/2022		
SR 002 Operational : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	<p>The Council continues to monitor progress against its Covid Recovery Plan, visitor numbers decreased significantly over the winter period and following the Council's very successful management of visitors during an incredibly busy summer season in 2021, still managed to have some of the lowest infection rates nationally. Infection rates are currently below average and vaccination rates well above average. As at 31 May 2022 the 7-day total of cases per 100,000 people was 52.3. Staffing levels are monitored regularly and sickness absence rates are low compared to national averages and are below our target for 2021/22.</p>

		31/05/2022
SR 002 Operational : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
SR 002 Operational : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➡

## SR 002 Operational

### Associated Corporate Risks

31/05/2022		
CR 001 Deteriorating/ underused property assets : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	The Asset management plan is in place. Additional resource is now available to ensure the Council meets its legislative and industry best practice obligations and duties in respect of the management of Council owned assets. Resource is available to the R&M Team in Property Services have increase and a senior post has been filled to allow improved coordination of maintenance activity..
CR 003 Digital Customer Service Improvement failure : Status	Score	n/r
	Target	n/r
	Performance	⏪
	Direction of change	⏩
	Comments	n/r
CR 008 Loss of Information : Status	Score	16.00
	Target	2.00
	Performance	▲
	Direction of change	➡
	Comments	
CR 009 Poor Procurement : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	This risk has lessened as a result of more robust management and monitoring of procurement processes, particularly focused around the the procurement exemption routes, were implemented. The Council has a Procurement officer who is having significantly increased involvement with procurement processes at an earlier stage.
CR 013 Emergency event : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➡
	Comments	
CR 024 People Resources : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➡
	Comments	

		31/05/2022
CR 025 Contract failure : Status	Score	12.00
	Target	4.00
	Performance	
	Direction of change	→
	Comments	The position in terms of the global construction sector in particular means that contracts are at greater risk of significant delay and budget pressures although the Council is doing all it can to mitigate this such as buying materials at the start of the project and contingency provision. The risk of fundamental business failure in our significant contracts is reducing due to the the stabilising economic position post Covid-19. The local availability of specialist trades and resources and supply chain issues still remain. The Council has robust management arrangements for all contracts and for the monitoring and evaluation of progress.



## Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Mar 22
<input checked="" type="checkbox"/> Adequate budget provision both from revenue and capital to support R&M works and capital investment	Duncan Ellis	✓
<input checked="" type="checkbox"/> Adequate staff or appropriately qualified external contractor support	Duncan Ellis	✓
<input checked="" type="checkbox"/> Asset Condition Surveys	Duncan Ellis	✓
<input checked="" type="checkbox"/> Business cases for commercialisation of assets to deliver future income and efficiencies	Duncan Ellis	✓
<input checked="" type="checkbox"/> Compliance policies in place and up to date	Duncan Ellis	✓
<input checked="" type="checkbox"/> Compliance works undertaken in a timely fashion	Duncan Ellis	✓
<input checked="" type="checkbox"/> Procure a Strategic Development Partner	Duncan Ellis	✓
<input checked="" type="checkbox"/> Production and approval of the Asset Management Plan	Renata Garfoot	?
<input checked="" type="checkbox"/> 3.1.2 Review and refine our Customer Strategy	Stuart Harber	✓
<input checked="" type="checkbox"/> Communications plan around the programme to ensure buy-in	Sean Kelly	✓
<input checked="" type="checkbox"/> Develop and Implement a Communications Strategy	Joe Ferrari	✓
<input checked="" type="checkbox"/> Digital Transformation progress reports provided to Cabinet & O&S	Sean Kelly	✓
<input checked="" type="checkbox"/> ICT Strategy	Sean Kelly	✓
<input checked="" type="checkbox"/> Maintain technical competence	James Claxton	✓
<input checked="" type="checkbox"/> Market Pay Review report	James Claxton	✓
<input checked="" type="checkbox"/> PSN Code of Connection compliance	Sean Kelly	✓
<input checked="" type="checkbox"/> Review of recruitment practices	Phillip Rowson	✓
<input checked="" type="checkbox"/> Review Pay Policy	James Claxton	✓
<input checked="" type="checkbox"/> Review relocation policy	James Claxton	✓
<input checked="" type="checkbox"/> Certified Security Professional Training	Kate Wilson	✓
<input checked="" type="checkbox"/> Data Protection training	Cara Jordan	✓
<input checked="" type="checkbox"/> GDPR compliance framework	Cara Jordan	✓
<input checked="" type="checkbox"/> Implement data security protocols	Sean Kelly	✓
<input checked="" type="checkbox"/> Information Risk Policy and Role Description	Sean Kelly	✓
<input checked="" type="checkbox"/> IT Monitoring	Sean Kelly	✓
<input checked="" type="checkbox"/> IT Security Policies	Sean Kelly	✓
<input checked="" type="checkbox"/> Regular 3rd party data protection and integrity testing	Sean Kelly	✓

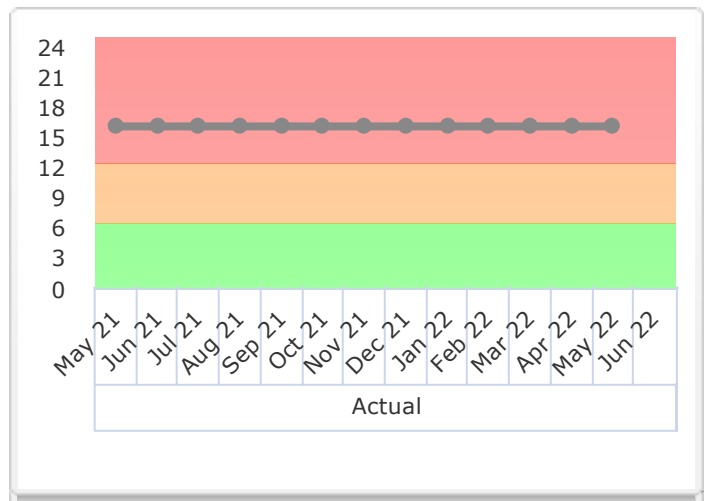
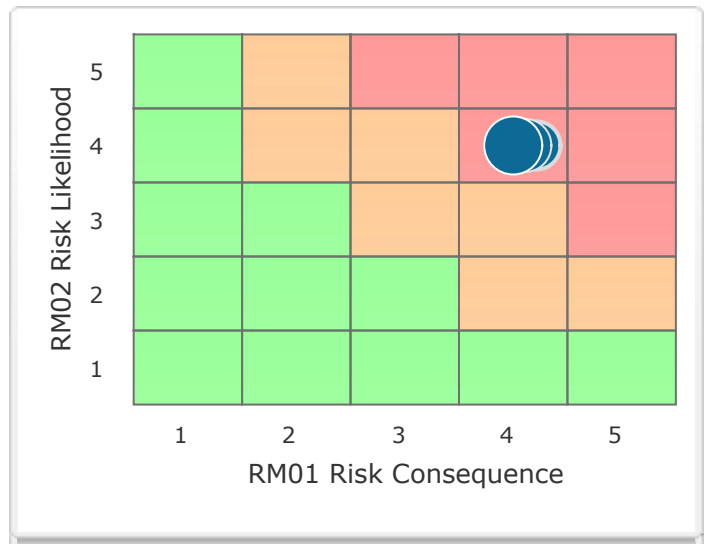
	Responsible	Mar 22
<input checked="" type="checkbox"/> Regular audits of IT security arrangements	Sean Kelly	✓
<input checked="" type="checkbox"/> Advice for external suppliers	Duncan Ellis	✓
<input checked="" type="checkbox"/> Joint procurement protocol and opportunities for joint/shared procurement with other authorities	Duncan Ellis	✓
<input checked="" type="checkbox"/> Procurement Framework	Duncan Ellis	✓
<input checked="" type="checkbox"/> Procurement responsibility assigned	Duncan Ellis	✓
<input checked="" type="checkbox"/> Procurement Strategy	Duncan Ellis	✓
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✓
<input checked="" type="checkbox"/> Business Continuity Planning	Alison Sayer	✓
<input checked="" type="checkbox"/> CC 001 Consideration of COVID-19 implications	Alison Sayer	✓
<input checked="" type="checkbox"/> Complete critical services' Business Continuity Plans (BCP)	Alison Sayer	✓
<input checked="" type="checkbox"/> Corporate Business Continuity key role training	Alison Sayer	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✓
<input checked="" type="checkbox"/> Corporate Policies and Procedures	Alison Sayer	✓
<input checked="" type="checkbox"/> Create and issue adverse weather guidance	Alison Sayer	✓
<input checked="" type="checkbox"/> Emergency Response & Recovery Planning	Alison Sayer	✓
<input checked="" type="checkbox"/> Employment Policies	James Claxton	✓
<input checked="" type="checkbox"/> Refresh the project management framework	Kate Rawlings	✓
<input checked="" type="checkbox"/> Apprenticeship programme	James Claxton	✓
<input checked="" type="checkbox"/> Check-in process	James Claxton	✓
<input checked="" type="checkbox"/> Employee Referral Scheme	James Claxton	✓
<input checked="" type="checkbox"/> New Ways of Working - Policy Creation	James Claxton	✓
<input checked="" type="checkbox"/> Procurement Officer post established	Duncan Ellis	✓

#### Outstanding

	Stage	Responsible		Mar 22
<input checked="" type="checkbox"/> Review and update of Web Strategy	Cancelled	Sean Kelly	Performance	
			Comments	~
<input checked="" type="checkbox"/> CC 002 ER1 Review Emergency Response Plan	In Progress	Alison Sayer	Performance	●
			Comments	Emergency Response Guidance under review which should be completed by the end of March 2022. This review will be carried out towards the end of 2022.
<input checked="" type="checkbox"/> Develop 'People Strategy'	In Progress	James Claxton	Performance	●
			Comments	

## SR 003 Macroeconomic

Responsibility	Resources
Risk Description	<p><b>MACROECONOMIC:</b> related to the growth or decline of the local economy, interest rates, inflation and to a lesser degree, the wider national and global economy amongst others.</p> <p>Risk - national/global recession resulting in business failure and unemployment.</p> <p>Effect - increased requirement for benefits, housing, council tax support, business advice and support.</p>
Risk Category	B Macroeconomic
Risk Response	Treat



## Latest Update

31/05/2022		
SR 003 Macroeconomic : Status	Score	16.00
	Target	12.00
	Performance	▲
	Direction of change	➔
	Comments	<p>There is growing public concern about the rising cost of living, particularly in respect of energy and food costs which is resulting in increased numbers of households approaching the Council, local charities and food banks for support. In response the Council has already paid the Governments £150 energy rebate scheme to 88.3% of eligible households, about to approve a Council Tax Energy Rebate (Discretionary) Scheme and a new Discretionary Hardship and Support Grant (Cabinet 6 June 2022).</p> <p>The Council will monitor Council Tax and Business Rates collection rates to assess the impact of rising cost inflation on both residents and businesses.</p>



		31/05/2022
SR 003 Macroeconomic : RM01 Risk Consequence	Score	4
	Target	3
	Direction of change	➡
SR 003 Macroeconomic : RM02 Risk Likelihood	Score	4
	Target	4
	Direction of change	➡

## Associated Corporate Risks

31/05/2022		
CR 026 Impact of economic fluctuations on the North Norfolk economy : Status	Score	15.00
	Target	4.00
	Performance	▲
	Direction of change	➔
	Comments	

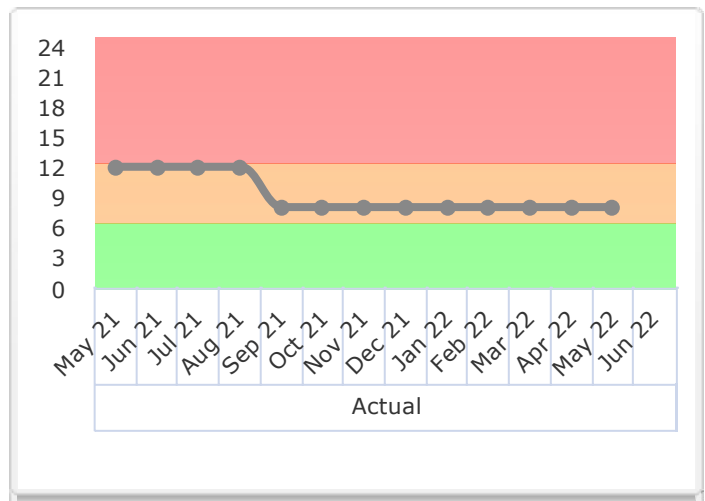
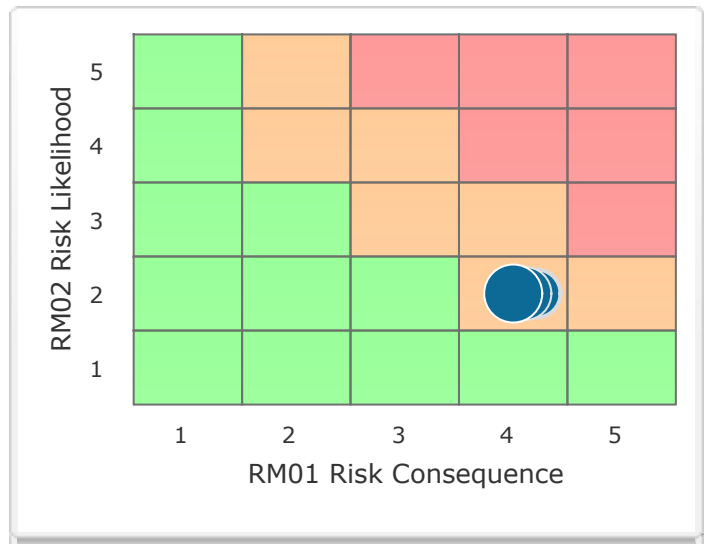
## Control, Contingency & Mitigating Actions

Implemented			
		Responsible	Mar 22
<input checked="" type="checkbox"/> Business Survey		Stuart Quick	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning		Helen Thomas	✓
<input checked="" type="checkbox"/> Fund Management advice from Arlingclose		Lucy Hume	✓
<input checked="" type="checkbox"/> HS 003 - Monitor the need for temporary accommodation and ensure suitable provision		Graham Connolly	✓
<input checked="" type="checkbox"/> Medium Term Financial Strategy		Duncan Ellis	✓
<input checked="" type="checkbox"/> Operation of the Council Tax Hardship Fund		Trudi Grant	✓
<input checked="" type="checkbox"/> Treasury Management Strategy		Lucy Hume	✓


Outstanding				
	Stage	Responsible		Mar 22
<input checked="" type="checkbox"/> 2.2.1 Economic Growth Strategy (2020 - 2023)	In Progress	Stuart Quick	Performance	
			Comments	~

## SR 004 Strategic

Responsibility	Resources
Risk Description	<p>STRATEGIC: key initiatives undertaken by the Council such as significant purchases, new ventures, commercial interests and other areas of organisational change deemed necessary to help the Council meet its goals.</p> <p>Risk - Corporate Plan and Projects may not be delivered within agreed timescales or budget.</p> <p>Effect - objectives not delivered, poor use of council financial resources.</p>
Risk Category	E Strategic
Risk Response	Treat



Latest Update

		31/05/2022
SR 004 Strategic : Status	Score	8.00
	Target	4.00
	Performance	
	Direction of change	➔
	Comments	<p>Following the publication of the Government's Levelling Up White Paper in early February discussions have taken place between partners in Norfolk and DLUHC about the powers, functions and finances which might be made available to the County in any County Deal developed and agreed over the period to October 2022. A key issue for North Norfolk in any County Deal agreed will be to ensure that the needs of our rural district are appropriately considered and hopefully met. During April the Government announced district based allocations under the UK Shared Prosperity Fund with North Norfolk receiving £150,000 in 2022/23; £300,000 in 2023/24 and £787,000 in 2024/25. The Council is required to produce an investment strategy stating how it will use these funds for submission to Government by the 1 August 2022 and a workshop is being arranged for Members to contribute to the strategy. The Council has also agreed to submit two applications under Round 2 of the Levelling Up Fund by 6 July 2022 and will identify the opportunities and risk associated with growth bids as part of the submission.</p>

		31/05/2022
SR 004 Strategic : RM01 Risk Consequence	Score	4
	Target	2
	Direction of change	➔
SR 004 Strategic : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	➔

## Associated Corporate Risks

31/05/2022		
CR 027 Strategic financial and performance management : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➔
	Comments	

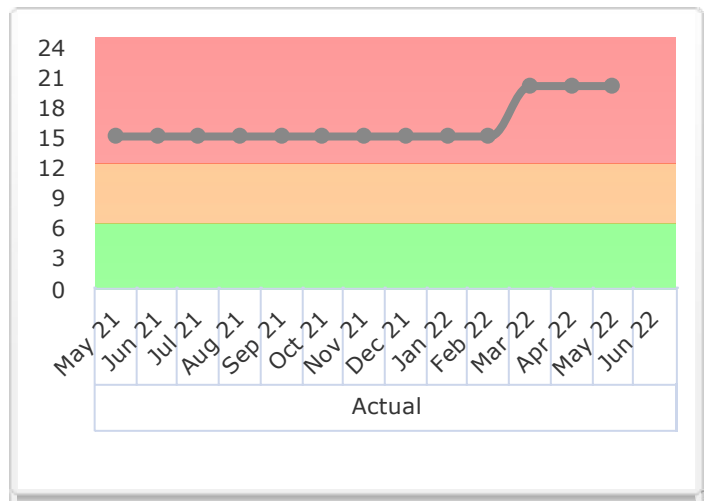
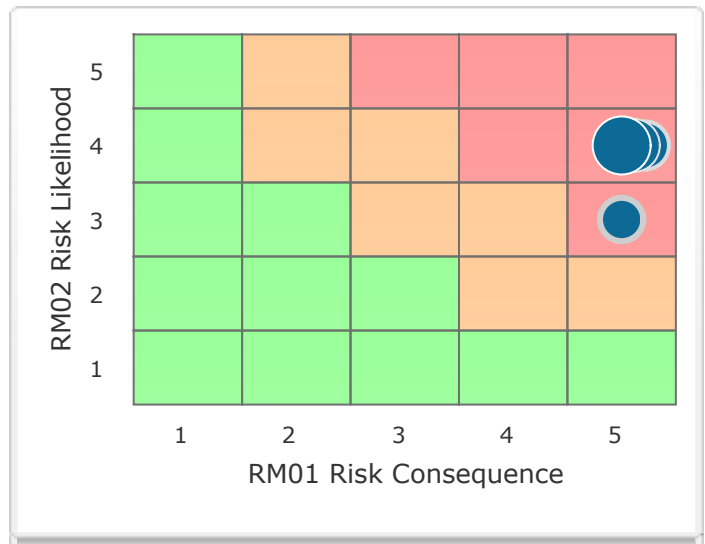
## Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Mar 22
<input checked="" type="checkbox"/> Annual review of the Council's reserves	Duncan Ellis	✓
<input checked="" type="checkbox"/> Budget Process / Budget Monitoring	Lucy Hume	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✓
<input checked="" type="checkbox"/> Establish the financial impact of Covid-19	Duncan Ellis	✓
<input checked="" type="checkbox"/> Medium Term Financial Strategy	Duncan Ellis	✓
<input checked="" type="checkbox"/> Refresh the project management framework	Kate Rawlings	✓
<input checked="" type="checkbox"/> Review the Corporate Plan 2019-23 post Covid-19	Steve Blatch	✓

Outstanding				
	Stage	Responsible		Mar 22
<input checked="" type="checkbox"/> Emerging Local Plan	In Progress	Mark Ashwell	Performance	●
			Comments	Regulation 19 consultation completed. Independent examination likely by autumn 2022 subject to resolution of current issues relating to water pollution (nutrient neutrality). The remaining stages of Local Plan production and adoption will need to be completed before the approved policies are implemented.

## SR 005 Environmental and Social

Responsibility	Resources
Risk Description	<p><b>ENVIRONMENTAL AND SOCIAL:</b> related to the environmental and social impact of the Council's strategy and interests.</p> <p>Risk - Council fails to take into account changing environmental and social needs.</p> <p>Effect - strategic objectives don't reflect environmental and social issues.</p>
Risk Category	F Environmental & Social
Risk Response	Treat



Latest Update

		31/05/2022
SR 005 Environment & Social : Status	Score	20.00
	Target	4.00
	Performance	▲
	Direction of change	➡
	Comments	<p>The Council has a new Environmental Charter in place and approved the Net Zero Strategy and accompanying Climate Action Plan at Full Council on 23 February 2022. The strategy identifies how we will meet our aspiration of achieving net-zero carbon emissions by 2030. Progress delivering the goals of the strategy and the action plan will be reported to Cabinet every six months.</p> <p>On 16 March 2022 councils in Norfolk, including NNDC, received a letter from Natural England, advising of concerns around new development impacting negatively on water quality in the Wensum and Bure/ Broads river catchments referred to as Nutrient Neutrality. This will have a significant impact on the local construction industry, rates of housing growth and 5 year housing land supply issues. Local authorities had no advanced notice of Natural England's position and are working collaboratively through the Duty to Cooperate Framework to develop a shared response to this challenging issue.</p>

		31/05/2022
SR 005 Environment & Social : RM01 Risk Consequence	Score	5
	Target	2
	Direction of change	➡
SR 005 Environment & Social : RM02 Risk Likelihood	Score	4
	Target	2
	Direction of change	➡

## Associated Corporate Risks

31/05/2022		
CR 002 Flooding, erosion and loss of assets and delivery of services : Status	Score	20.00
	Target	12.00
	Performance	▲
	Direction of change	➡
	Comments	
CR 010 Housing Delivery : Status	Score	9.00
	Target	4.00
	Performance	●
	Direction of change	➡
	Comments	

## Control, Contingency & Mitigating Actions

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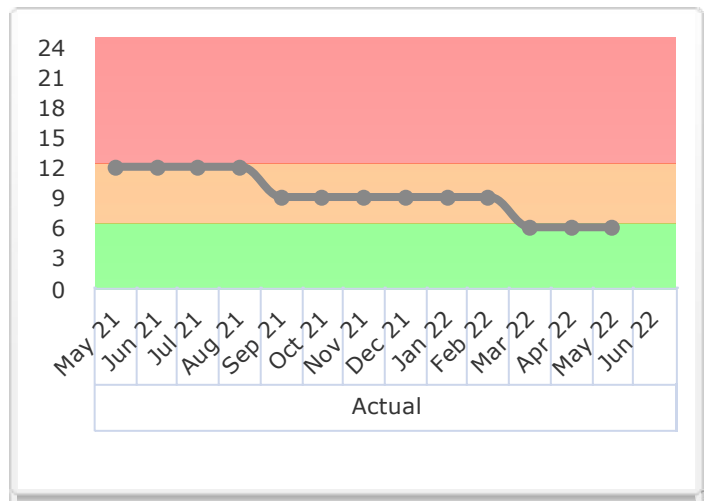
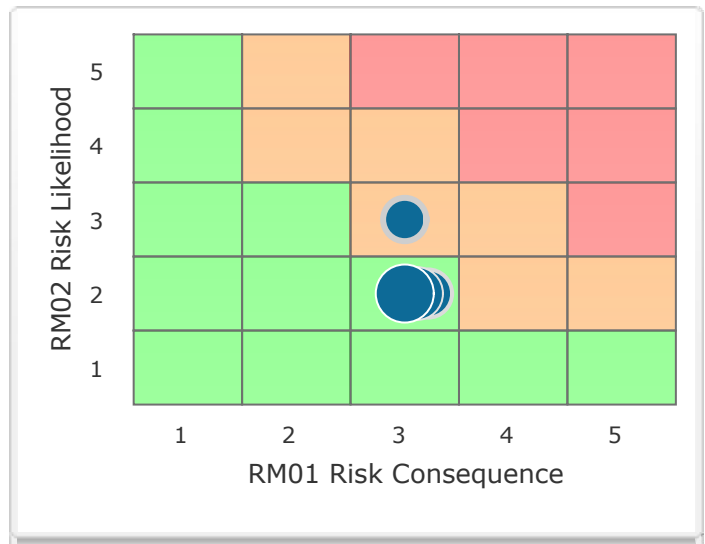


Implemented		
	Responsible	Mar 22
<input checked="" type="checkbox"/> 4.3.1 Baseline carbon audit and carbon reduction action plan	Robert Young	★
<input checked="" type="checkbox"/> Bacton and Walcott coastal management scheme	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Coastal Monitoring	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Coastal Partnership East set up	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Control of coastal management schemes through procurement and regular checking	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✔
<input checked="" type="checkbox"/> DEFRA funding of capital schemes	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Environment Forum	Robert Young	✔
<input checked="" type="checkbox"/> Health & Safety checking and monitoring	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Procurement practices	Duncan Ellis	✔
<input checked="" type="checkbox"/> Repairs & Maintenance Programme	Rob Goodliffe	✔
<input checked="" type="checkbox"/> Shoreline Management Plan (SMP)	Rob Goodliffe	✔
<input checked="" type="checkbox"/> The Pathfinder Project	Rob Goodliffe	✔
<input checked="" type="checkbox"/> 1.2.1 Formulate a new Housing Strategy	Graham Connolly	✔
<input checked="" type="checkbox"/> 1.4.1 Developing and implementing a new Homelessness and Rough Sleepers Strategy and Action Plan	Lisa Grice	✔
<input checked="" type="checkbox"/> 1.5.1 Investigate ways to support and assist affordable housing providers	Graham Connolly	✔
<input checked="" type="checkbox"/> Community Housing Fund	Graham Connolly	✔
<input checked="" type="checkbox"/> Enhance Housing Association delivery	Graham Connolly	✔
<input checked="" type="checkbox"/> Housing Strategy implementation	Robert Young	✔
<input checked="" type="checkbox"/> HS 003 - Monitor the need for temporary accommodation and ensure suitable provision	Graham Connolly	✔
<input checked="" type="checkbox"/> Increased Focus	Nicky Debbage	✔
<input checked="" type="checkbox"/> Internal planning protocol	Phillip Rowson	✔
<input checked="" type="checkbox"/> Local Development Framework (LDF) policies	Mark Ashwell	✔
<input checked="" type="checkbox"/> Local Investment Plan	Nicky Debbage	✔
<input checked="" type="checkbox"/> Monitor Brexit and its potential impact on the ability to deliver and acquire homes as a home owner	Duncan Ellis	✔
<input checked="" type="checkbox"/> Partnership work with Registered Providers	Graham Connolly	✔
<input checked="" type="checkbox"/> Use of capital	Nicky Debbage	✔

Outstanding				
	Stage	Responsible		Mar 22
<input checked="" type="checkbox"/> CM 002 Refurbish coastal defences at Mundesley	In Progress	Tamzen Pope	Performance	●
			Comments	Mundesley detailed design progress has been delayed due to MMO consultation issues. Now due to be completed in June 2022. Report to be shared with delegated authorities to proceed into the pre-construction phase with Balfour Beatty using the SCAPE framework. Project is being developed and will be delivered in conjunction with the Cromer Phase 2 scheme to maximise efficiencies.
<input checked="" type="checkbox"/> CM 016 10 year capital programme	In Progress	Tamzen Pope	Performance	★
			Comments	10 year capital programme has been drafted. Programme has been developed utilising the SCAPE framework for a number of schemes including Cromer and Mundesley as well as initial investigations for Beeston Bump, Sheringham and Overstrand
<input checked="" type="checkbox"/> 1.3.1 Develop a business case for a housing company	Cancelled	Nicky Debbage	Performance	
			Comments	~
<input checked="" type="checkbox"/> HO 007d Production of SLA	Not Started	Lisa Grice	Performance	
			Comments	~

## SR 006 Governance

Responsibility	Resources
Risk Description	<p>GOVERNANCE: related to ensuring that prudence and careful consideration sit at the heart of the Council's decision-making, augmented by quality independent advice and appropriate checks and balances that balance oversight and efficiency.</p> <p>Risk - Council acts outside established procedures or unlawfully.</p> <p>Effect - risk of litigation/reputational risk to Council/poor decision making.</p>
Risk Category	G Governance
Risk Response	Treat




## Latest Update

31/05/2022		
SR 006 Governance : Status	Score	6.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	The Council received its annual audit results report letter for 2019/20 from external auditors Ernst & Young in February 2022. The report contained a number of recommendations to strengthen the Council's governance arrangements and these were addressed in full in a management response, discussed and agreed by GRAC at its meeting on 30 March 2022.

		31/05/2022
SR 006 Governance : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➡
SR 006 Governance : RM02 Risk Likelihood	Score	2
	Target	2
	Direction of change	➡

## Associated Corporate Risks

31/05/2022		
CR 028 Governance failures : Status	Score	9.00
	Target	4.00
	Performance	
	Direction of change	➔
	Comments	The Council received its annual audit results report letter for 2019/20 from external auditors Ernst & Young in February 2022. The report contained a number of recommendations to strengthen the Council's governance arrangements and these were addressed in full in a management response, discussed and agreed by GRAC at its meeting on 30 March 2022. Presently there is no Section 151 officer at the Council following the departure of the previous post holder. Such position is required under section 151 of the Local Government Act 1972 and must be an officer that is suitably qualified. In the absence of such, the Council is endeavouring to address the position and looking to urgently appoint an interim section 151 officer. Recruitment is currently being progressed for a permanent replacement..

## Control, Contingency & Mitigating Actions

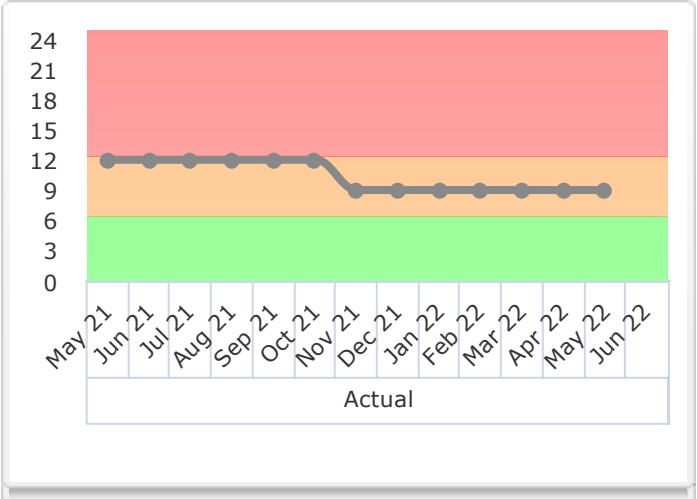
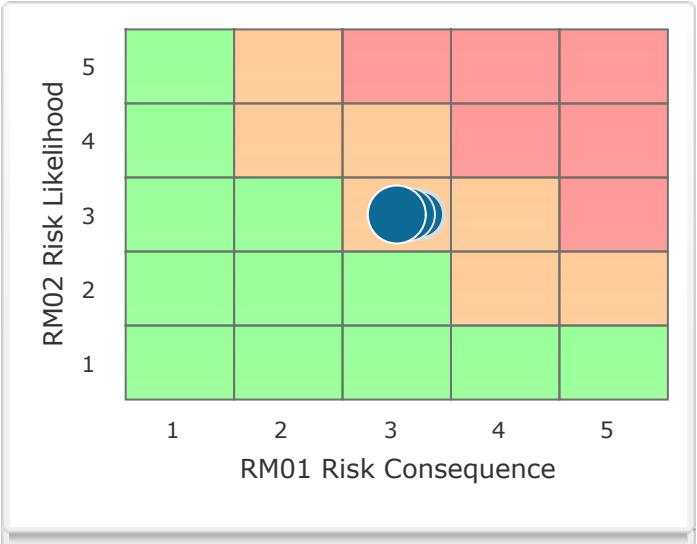
Implemented		
	Responsible	Mar 22
<input checked="" type="checkbox"/> Annual Assurance Statements	Duncan Ellis	✓
<input checked="" type="checkbox"/> Annual Audit Report	Lucy Hume	✓
<input checked="" type="checkbox"/> Annual Governance Statement 2019/20 supported by assurance framework	Duncan Ellis	✓
<input checked="" type="checkbox"/> Annual Governance Statement 2020/21 supported by assurance framework	Duncan Ellis	✓
<input checked="" type="checkbox"/> Audit programme	Lucy Hume	✓
<input checked="" type="checkbox"/> Clear robust corporate governance framework	Renata	✓
<input checked="" type="checkbox"/> Committee report templates	Emma Denny	✓
<input checked="" type="checkbox"/> Constitution/Standing Orders/Scheme of Delegations	Cara Jordan	✓
<input checked="" type="checkbox"/> Corporate Planning / Service Planning	Helen Thomas	✓
<input checked="" type="checkbox"/> Head of Internal Audit assurance	Duncan Ellis	✓
<input checked="" type="checkbox"/> Member/ Officer Protocol	Emma Denny	✓
<input checked="" type="checkbox"/> Monitoring Officer actions to ensure governance risk is minimised	Cara Jordan	✓
<input checked="" type="checkbox"/> Monitoring Officer Report	Cara Jordan	✓
<input checked="" type="checkbox"/> Operation of Overview and Scrutiny Committee	Emma Denny	✓
<input checked="" type="checkbox"/> Operation of Standards Committee	Emma Denny	✓
<input checked="" type="checkbox"/> Section 151 Officer actions to ensure governance risk is minimised	Duncan Ellis	✓

Outstanding


This report does not contain any data

SR 007 Reputation

Responsibility	Resources
Risk Description	REPUTATION: related to the Council's dealings and interests, and the impact of adverse outcomes on the Council's reputation and public perception.  Risk - Council's reputation is adversely affected.  Effect- reduced public confidence.
Risk Category	H Reputational
Risk Response	Treat



 Latest Update

		31/05/2022
SR 007 Reputation : Status	Score	9.00
	Target	4.00
	Performance	
	Direction of change	➔
	Comments	<p>The new Reef leisure project has now officially undergone practical completion and the centre opened at the end of November 2021. The final contract payments are still however to be agreed and paid to the contractor so the project is still currently live at the present time. Once this process is complete as part of the new project management framework the scheme will undergo a final review to identify any lessons learnt to help inform future project delivery.</p> <p>Phase 1 North Walsham town centre Place Making public realm improvement construction works commenced as planned in February 2022 at Church Approach (Shambles). Good progress is being made.</p> <p>Cedars Grade II listed building contractors have been appointed and commenced work in February. Building Improvement Grants scheme - 25 Expressions of interest received from property owners and lease holders. Three grant applications approved by Historic England. Work already commenced on site on two buildings carrying out repairs, reinstating architectural features and bringing vacant floor space back into use.</p> <p>A number of arts and cultural activities are being planned and delivered by the Cultural Consortium over the next few months.</p> <p>Additional uplift funding was secured from Historic England (HE) in March 2022. This additional funding and the year 2 budgeted HE funding was defrayed before year end. The New Anglia LEP agreed a capital transfer swap to secure remaining LEP funding to be spent in year 3 2022-23.</p>

		31/05/2022
SR 007 Reputation : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➔
SR 007 Reputation : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➔





## Associated Corporate Risks

31/05/2022		
CR 029 Poor reputation of the Council in the Community : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	As there is a strategic level risk regarding the reputation of the Council there is no need for this additional risk regarding our reputation in the community. The recommendation is therefore that this risk is closed.



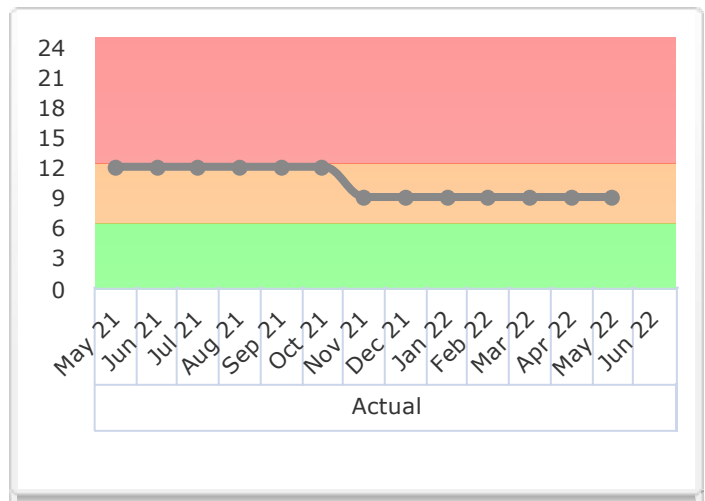
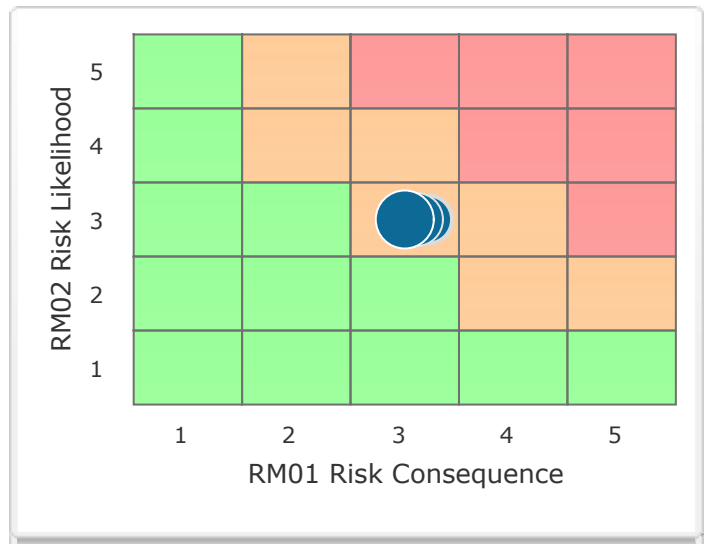
## Control, Contingency & Mitigating Actions

Implemented			
		Responsible	Mar 22
<input checked="" type="checkbox"/>	3.1.2 Review and refine our Customer Strategy	Stuart Harber	✓
<input checked="" type="checkbox"/>	Clear robust corporate governance framework	Renata Garfoot	✓
<input checked="" type="checkbox"/>	Develop and Implement a Communications Strategy	Joe Ferrari	✓


Outstanding				
	Stage	Responsible		Mar 22
<input checked="" type="checkbox"/>	Review and update of Web Strategy	Sean Kelly	Performance	
			Comments	~

## SR 008 Corporate project related risks

Responsibility	Resources
Risk Description	CORPORATE PROJECT RELATED RISKS: Related to individual corporate project risks
Risk Category	I Projects
Risk Response	Treat



Latest Update

		31/05/2022
SR 008 Corporate project related risks : Status	Score	9.00
	Target	4.00
	Performance	
	Direction of change	➔
	Comments	<p>The new Reef leisure project has now officially undergone practical completion and the centre opened at the end of November 2021. The final contract payments are still however to be agreed and paid to the contractor so the project is still currently live at the present time. Once this process is complete as part of the new project management framework the scheme will undergo a final review to identify any lessons learnt to help inform future project delivery.</p> <p>Phase 1 North Walsham town centre Place Making public realm improvement construction works commenced as planned in February 2022 at Church Approach (Shambles). Good progress is being made.</p> <p>Cedars Grade II listed building contractors have been appointed and commenced work in February. Building Improvement Grants scheme - 25 Expressions of interest received from property owners and lease holders. Three grant applications approved by Historic England. Work already commenced on site on two buildings carrying out repairs, reinstating architectural features and bringing vacant floor space back into use.</p> <p>A number of arts and cultural activities are being planned and delivered by the Cultural Consortium over the next few months.</p> <p>Additional uplift funding was secured from Historic England (HE) in March 2022. This additional funding and the year 2 budgeted HE funding was defrayed before year end. The New Anglia LEP agreed a capital transfer swap to secure remaining LEP funding to be spent in year 3 2022-23.</p>

		31/05/2022
SR 008 Corporate project related risks : RM01 Risk Consequence	Score	3
	Target	2
	Direction of change	➔
SR 008 Corporate project related risks : RM02 Risk Likelihood	Score	3
	Target	2
	Direction of change	➔

## Associated Corporate Risks

31/05/2022		
CR 030 Sheringham Leisure Centre : Status	Score	4.00
	Target	4.00
	Performance	★
	Direction of change	➔
	Comments	

## Control, Contingency & Mitigating Actions

Implemented		
	Responsible	Mar 22
<input checked="" type="checkbox"/> Operation of Overview and Scrutiny Committee	Emma Denny	✓
<input checked="" type="checkbox"/> Project management & reporting procedures - Sheringham Leisure Centre	Robert Young	✓

Outstanding
This report does not contain any data